Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp:

SECRETARY OF THE SENATE
PUBLIC RECORDS

Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the Office of Public Records in 232 Hart Building.

(Revised 1/3/11)

2018 MAR -5 PM 5: 34

Form RE-2

	Rule 35.2(a) and (c), I reformed to the contract of the contra	-	sures with respect to	o travel expenses that have been or wi
	-	orization (Form RE-1), <u>A</u> ertification Form with all a		ary, invitee list, etc.)
Private Sponsor(s) (li	st all): The Aspen Ir	nstitute Inc. (Education	n and Society P	rogram)
Travel date(s): Febr	uary 20-22, 2018		·	
Name of accompanyi Relationship to Trave	ng family member (if a ler: \square Spouse	any): Child		
	COSTS IN EMPLOYEE	EASE DUE TO THE ACCOUNTY EXPENSES. (Attach addition		JSE OR DEPENDENT CHILD, ONLY ry.)
	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
☑ Good Faith Estimate □ Actual Amount	\$92.94 (round trip mileage and tolls)	\$206 for two nights total	\$127.75	\$441.29 meeting room fees (includes meeting facilities, set up/take down, cleaning, meeting materials)
Expenses for Accom	panying Spouse or D	ependent Child (if applica	ble):	
	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
☐ Good Faith Estimate				
☐ Actual Amount				
nacacamy).		vents attended. See Senate		Attach additional pages if eds Act.
2/26/2018	Jake (Cornett		1/1/1-
(Date)		name of traveler)		((Signature of traveler)
TO BE COMPLETE	ED BY SUPERVISING	MEMBER/OFFICER:		
Authorization form, a		es set out above in connection, lodging, and related	expenses as define	escribed in the Employee Pre-Travel d in Rule 35.
2/26/2018			/Ciana automia — C.C.	amining Compton/Officers
(Date)			(Signature of Sup	ervising Senator/Officer)

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee MUST also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

Spor	nsor(s) of the trip (please list all sponsors):
	Aspen Institute Inc. (Education and Society Program)
Desc	cription of the trip: Aspen Institute Education and Society program sponsored convening for senior
	cation staffers on the Implementation of the Every Student Succeeds Act (ESSA) and next steps.
Date	es of travel: February 20-22, 2018
Plac	e of travel: St. Michaels, MD
Nan	ne and title of Senate invitees: Please see attached roster
I cei	tify that the trip fits one of the following categories:
X	(A) The sponsor(s) are not registered lobbyists or agents of a foreign principal <u>and</u> do not retain or employ registered lobbyists or agents of a foreign principal <u>and</u> no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee at any point throughout the trip.
	(B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (see question 9).
	I certify that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
	I certify that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
l ce	rtify that:
	The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for <i>de minimis</i> lobbyist involvement.
X	The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (see question 9).

9.	USE ONLY IF YOU CHECKED QUESTION 6(B) I certify that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:
	(A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member officer, or employee on any segment of the trip.
	(B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee on any segment of the trip (see questions 6 and 10). -OR-
	(C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee at any point throughout the trip.
10.	USE ONLY IF YOU CHECKED QUESTION 9(B) If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:
11.	An itinerary for the trip is attached to this form. I certify that the attached itinerary is a detailed (hourby-hour), complete, and final itinerary for the trip.
12.	Briefly describe the role of each sponsor in organizing and conducting the trip:
	The Aspen Institute is the sole sponsor of this retreat and is solely responsible for the development and
	execution of the convening.
13.	Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:
	The Aspen Institute is an educational and policy studies non-profit organization whose mission is to foster
	leadership based on enduring values and provide a non-partisan forum for the exchange of ideas.
	(see continued response)
14.	Briefly describe each sponsor's prior history of sponsoring congressional trips:
	The Aspen Institute has a nearly forty year history of conducting non-partisan educational forums, which
	often include Members of Congress and staff. The Aspen Institute Education and Society program
	has been conducting convenings for Congressional education staff for eleven years.

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The Aspen Institut	e holds numerous educat	ional activities, includi	ng educational briefir	ngs, roundtables,
forums, and confer	ences for a diverse range	e of attendees includin	g federal and state p	olicymakers,
business and orga	nizational leaders, memb	ers of the press and th	ne general (see cont	inued response)
Total Expenses for	Each Participant:			
	Transportation Expenses	Lodging Expenses	Meal Expenses	. Other Expenses
Good Faith estimate	\$92.94(round trip mileage and tolls)	\$206.00 for two nights total	\$127.75	\$ 441.29 meeting room fees (includes meeting facilitie set up/take dow
Amounts				cleaning, meeti materials)
			·	
participation or b) congressional parti	- ·	that is arranged or org	ganized <i>specifically</i> и	vith regard to
participation or b) congressional parti b) The trip is organ	the trip involves an event cipation: ized specifically with rega	that is arranged or organized to Congressional s	ganized specifically was	vith regard to
participation or b) congressional parti b) The trip is organ their learning on in	the trip involves an event cipation: ized specifically with regardant plementation of the Even	that is arranged or organic and to Congressional so y Student Succeeds A	ganized specifically was	vith regard to
participation or b) congressional parti b) The trip is organ their learning on in Reason for selecting	the trip involves an event cipation: ized specifically with regardant replementation of the Event specifically with regardant replementation replemen	that is arranged or organical states of the Congressional states of the Student Succeeds Andrews or trip	staff participation in or	rder to support
participation or b) congressional parti b) The trip is organ their learning on in Reason for selectin The location is close	the trip involves an event cipation: ized specifically with regardant plementation of the Even	that is arranged or organic and to Congressional so y Student Succeeds A easy staffer travel and	staff participation in or Act.	rder to support
participation or b) congressional parti b) The trip is organ their learning on in Reason for selecting The location is close experts brought in	the trip involves an event cipation: nized specifically with regard plementation of the Event se to Washington, DC for to support the retreat) to	that is arranged or organd to Congressional so that Succeeds A easy staffer travel and fly into DCA, Dulles or	staff participation in or Act.	rder to support
participation or b) congressional parti b) The trip is organ their learning on in Reason for selectin The location is close experts brought in Name and location	the trip involves an event cipation: nized specifically with regard plementation of the Event se to Washington, DC for to support the retreat) to of hotel or other lodging	that is arranged or organd to Congressional so y Student Succeeds A et or trip easy staffer travel and fly into DCA, Dulles or facility:	staff participation in or Act.	rder to support
participation or b) congressional parti b) The trip is organ their learning on in Reason for selectin The location is close experts brought in Name and location	the trip involves an event cipation: nized specifically with regard plementation of the Event se to Washington, DC for to support the retreat) to	that is arranged or organd to Congressional so y Student Succeeds A et or trip easy staffer travel and fly into DCA, Dulles or facility:	staff participation in or Act.	rder to support
participation or b) congressional parti b) The trip is organ their learning on in Reason for selectin The location is close experts brought in Name and location Inn at Perry Cabin	the trip involves an event cipation: nized specifically with regard plementation of the Event se to Washington, DC for to support the retreat) to of hotel or other lodging	that is arranged or organd to Congressional so y Student Succeeds A et or trip easy staffer travel and fly into DCA, Dulles or facility: Michaels, MD 21663	staff participation in or Act.	rder to support

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21.	Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:						
	Rooms are \$103.00 per day, which reflects the per diem limit Meals \$36.75 per day 2/20/18, \$64.00 per day 2/21/18, \$31.00 per day 2/22/18 - which reflects the per diem limit						
						22.	Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:
							Transportation is not provided; mileage will be reimbursed for participants' travel by personal car
23.	I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).						
24.	List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:						
	None						
25.	I hereby certify that the information contained herein is true, complete and correct. (For trips involving more than one sponsor, you must include a completed signature page for each additional sponsor): Signature of Travel Sponsor:						
	Signature of Travel Sponsor:						
	Name and Title: Elliot Gerson, Executive Vice President, Policy & Public Programs						
	Name of Organization: The Aspen Institute						
	Address: 2300 N Street NW, Suite 700, Washington, DC 20037						
	Telephone Number: 202-736-5859 (Lisa Jones, Deputy General Counsel)						
	Fax Number:						
	E-mail Address: lisa.jones@aspeninst.org						

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

SIGNATURE PAGE FOR ADDITIONAL SPONSOR

(to be completed by each additional sponsor)

*	ation contained on pages 1-4 of the certification	
accompanying addenda, all sub	omitted in connection with the	trip
	Dates of Travel (Mo	onth Day, Year)
to	is true, complete, and correct.	
Place of Travel		
Signature of Travel Sponsor:		
Name and Title:		
Name of Organization:		
Address:		<u>. </u>
Telephone Number:		·
Fax Number:	1 	
E-mail Address:		

Instructions

(Do not file the Instructions with OPR)

General Instructions

- The Senate Select Committee on Ethics ("Ethics Committee") has developed guidelines for evaluating privately-sponsored trips and for judging whether trip expenses are reasonable. Trip sponsors should consult the Senate Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel, including the Glossary of Terms, prior to filling out the Private Sponsor Travel Certification Form and contact the Ethics Committee at (202) 224-2981 with any additional questions. The Ethics Committee will make the final determination as to whether the expenses incurred during a privately-sponsored trip are reasonable.
- If there are multiple sponsors, they should jointly complete one *Private Sponsor Travel Certification Form* for the trip. Each travel sponsor should complete the signature block.
- When evaluating a trip proposal and judging the reasonableness of expenses, the Ethics Committee will consider the following factors:
 - a. the stated mission of the organization sponsoring the trip;
 - b. the organization's prior history of sponsoring congressional trips, if any;
 - c. other educational activities performed by the organization besides sponsoring congressional trips;
 - d. whether any trips previously sponsored by the organization led to an investigation by the Select Committee on Ethics;
 - e. whether the length of the trip and the itinerary is consistent with the official purpose of the trip;
 - f. whether there is an adequate connection between a trip and official duties;
 - g. the reasonableness of the total amount spent by a sponsor of the trip;
 - h. whether there is a direct and immediate relationship between a source of funding and an event;
 - i. the maximum per diem rates for official Federal Government travel published annually by the General Services Administration, the Department of State, and the Department of Defense;
 - j. whether travel to a location or event is arranged or organized without regard to congressional participation, or whether it is specifically organized for Congressional staff; and
 - k. any other factor deemed relevant by the Select Committee on Ethics.

Consult the Senate Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel, including the Glossary of Terms, for further discussion of these factors.

- Responses to each question should be brief, consistent with the requirement to provide all relevant information. Attach additional pages, as necessary.
- To allow sufficient time for the Ethics Committee to review requests for privately sponsored travel, the participating Senate Members, officers, and employees must submit the completed form to the Ethics Committee at least thirty (30) days before the date of the proposed trip.

Filling out the Private Sponsor Travel Certification Form (Question by Question Instructions)

- 1. Sponsor(s) of the trip (please list all sponsors): A sponsor of a trip is any person, organization, or other entity contributing funds or in-kind support for the trip. A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip. If Members, officers, and employees are participating in an event or fact-finding trip in connection with their duties, they may accept necessary travel expenses only from the event or trip sponsor.
- 2. Description of the trip: Provide a brief statement about the purpose of the trip.
- 3. Dates of travel: Provide the dates of departure and return.
- 4. Place of travel: Provide the destination(s) for the trip.
- 5. Name and titles of Senate invitees: Provide the name and title for each Senate Member, officer, or employee who is invited on the trip.
- 6. I certify that the trip fits one of the following categories: A Senate Member, officer, or employee may accept privately sponsored travel only from sponsor(s) of a trip that fits one of the categories listed. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standard.
- 7. Financing of the trip, earmarked funds and in-kind contributions: Senate Members, officers, and staff may not accept privately-sponsored travel funded by a registered lobbyist or foreign agent. Members, officers, and staff may not participate in privately-sponsored travel when the sponsors accept funds or in-kind contributions earmarked for this particular trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal. Earmarking includes any direction, agreement, or suggestion -- formal or informal -- to use donated funds, goods, services, or other in-kind contributions for a particular trip or purpose.
- 8. Lobbyist/agent of a foreign principal involvement: Senate invitees may not participate in trips planned, organized, arranged, or requested by a lobbyist or foreign agent in more than a de minimis way, which means negligible or inconsequential. It would be considered inconsequential for one or more lobbyists or foreign agents to serve on the board of an organization that is sponsoring travel, as long as the lobbyists or foreign agents are not involved in the trip. It is also permissible for a lobbyist to respond to a trip sponsor's request to identify Senate invitees with interest in a particular issue relevant to a planned trip. However, a lobbyist is not allowed to solicit or initiate communication with a trip sponsor, have control over which Senate employees are invited on a trip, extend or forward an invitation to a participant, determine the trip itinerary, or be mentioned in the invitation.

Example: A trip sponsor that is a § 501(c)(3) non-profit organization asks a lobbyist to recommend staffers who might be most interested in joining a trip to the U.S.-Mexican border. If a lobbyist knows a staffer who has a particular interest in the DEA's activities at the border, then providing that information (in light of the trip sponsor's request), in and of itself, would not exceed a de minimis level of participation, and would be permitted. However, it would not be permissible for the lobbyist to initiate contact with the trip sponsor to suggest that a particular Senate staffer be invited or forward an invitation to that staffer. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standards.

9. Lobbyist/agent of a foreign principal accompaniment standards: Senate Members, officers, and staff may not accept privately-sponsored travel from an entity that retains or employs one or more federally-registered lobbyists or foreign agents unless one of the listed scenarios applies. At any segment of the trip means lobbyists may not accompany the Senate invitee for parts of the travel to and from the event (not at the event itself or the location being visited). At any point throughout the trip means lobbyists may not accompany Senate invitees at any point to and from the event, at the event itself, or at the location being visited, other than in a de minimis way. This is a broader prohibition than the at any segment of a trip standard.

"De minimis" exception: Both lobbyist/agent of a foreign principal "accompaniment" prohibitions include a de minimis exemption. De minimis means negligible or inconsequential. The mere coincidental presence of a lobbyist or foreign agent at an event would likely be considered de minimis. But in making the final determination, the Ethics Committee will consider the totality of the circumstances, including the amount of time lobbyists or foreign agents are present at the event; the amount of direct contact they have with Senate invitees; and the amount of control a trip sponsor has over their presence or contact with Senate guests. For example, if the trip includes attendance at an event considered widely-attended under Rule 35(1)(c)(18), the trip sponsor is unlikely to know all attendees present. Thus, it is likely to be permissible for such widely-attended events to include both a Senate guest and a lobbyist. Similarly, an organization cannot possibly know all the other passengers taking the same flight or other common carrier to a given destination. Accordingly, the sponsor does not need to certify that it knows for certain that no lobbyist or foreign agent will be on such a common carrier.

- 10. If travel includes two overnight stays: The Ethics Committee may approve two overnight stays for trips sponsored by an entity that employs or retains one or more lobbyists or foreign agents under certain conditions. Consult Committee regulations for additional information.
- 11. An itinerary for the trip is attached to this form: The Ethics Committee will not review the trip request without a detailed (hour-by-hour), complete and final itinerary for the trip. As a general matter, the Ethics Committee advises that each travel day contain a minimum of 6 hours of officially-related activities for Senate invitees.
- 12. Briefly describe the role of each sponsor in organizing and conducting the trip. A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip.
- 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission: Provide a brief description of the stated mission of each sponsor and how it relates to the trip.
- 14. Briefly describe each sponsor's prior history of sponsoring congressional trips: Provide a brief discussion of the sponsor's history of sponsoring congressional travel. It is not necessary to list every trip.
- 15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips): Provide a brief description of the educational activities performed by each sponsor. It is not necessary to list every individual activity; the description may be by kind or category of educational activity involved.
- 16. Total expenses for each participant: Indicate whether the figures provided are actual amounts or good faith estimates by checking the appropriate box. All trip expenses should be included. Expenses other than those for transportation, lodging, and meals must be individually listed and specified. Attach additional pages as necessary.

- 17. Congressional participation: For events that are arranged without regard to congressional participation (for example, annual meetings, conferences, seminars, and symposiums of trade associations, professional societies, business associations, and other membership organizations), the Ethics Committee may, but is not required to, allow Senate Members, officers, and employees to accept lodging and meal expenses that are commensurate with what is customarily provided to non-congressional attendees in similar circumstances. For events specifically arranged around congressional participation, lodging, meal expenses and other expenses must be "reasonable" in accordance with Ethics Committee regulations.
- 18. Reason for selecting the location of the event or trip: The location of the trip must be related to its purpose. A brief but detailed description of the reason for the selection of the location must be provided.
- 19. Name and location of hotel or other lodging facility: Include the exact name and address of the hotel or other lodging facility.
- 20. Reasons for selecting hotel or other lodging facility: Provide an explanation of the sponsor's rationale for selecting the particular lodging, include information such as proximity to the airport or site to be visited.
- 21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participant compare to the maximum per diem rates for official Federal Government travel: Where feasible and available, trip expenses for lodging and meals should generally be comparable to the government per diem rates. The circumstances surrounding a particular trip may legitimately require lodging and meal expenses to exceed these rates. Consult the Ethics Committee regulations for additional information.
- 22. Describe the type and class of transportation being provided: While coach or business-class fare may be accepted, first-class fare for any mode of transportation may be permitted only under limited conditions and only with specific prior written approval by the Ethics Committee. Transportation on a private or charter aircraft is not permitted for privately-sponsored travel under any circumstances.
- 23. Expenses for recreational activity, alcohol, or entertainment: The only recreational or entertainment activities that will be approved by the Ethics Committee are those that are provided to all attendees and are an integral part of an event. Alcoholic beverages are not considered to be a reasonable expense.
- 24. List any entertainment that will be provided to, paid for or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event: Entertainment expenses that are not provided to all attendees and deemed an integral part of the event will not be approved by the Ethics Committee.
- 25. Certification: The trip sponsor must sign the form and certify that the information is true, complete, and correct. For trips with more than one sponsor, each additional sponsor must complete its own signature page and certify that the information contained in the form is true, complete, and correct.

January 8, 2018

Dear Senate Colleague,

We are writing to invite you to participate in an upcoming retreat – "From Planning to Implementation" – for the Aspen Senior Congressional Education Staff Network from 12:00 PM Tuesday, February 20, 2018 to 1:00 PM Thursday, February 22, 2018 at the Inn at Perry Cabin, located 79 miles from Washington, DC.

At this convening, staffers will hear from state and district leaders on early implementation lessons of the Every Student Succeeds Act. Staffers will understand how states are creating and implementing their ESSA plans, including how they will monitor implementation at different levels of the system. The convening will also focus on school improvement strategies, support for teachers and leaders, and potential roles for Congress and the U.S. Department of Education in monitoring and guidance around ESSA implementation. Finally, the retreat will provide an opportunity for staffers to engage in their own learning and build working relationships with colleagues from different parties and chambers and with leading experts in the field.

We fully comply with the rules that have been enacted by the Senate regarding privately-funded travel. Enclosed you will find all the forms necessary for Ethics rules compliance:

A detailed agenda listing discussion sessions

A completed Private Sponsor Travel Certification Form

A list of invited staffers

A blank Employee Pre-Travel Authorization form

You must complete the Traveler Form and submit it with the enclosed agenda, list of invited staffers, and Primary Trip Sponsor Form directly to the Senate Ethics Committee (220 Hart) no later than Monday, January 22, 2018. After receiving the completed travel package, the Ethics Committee will review and issue an approval to you or your sponsoring Member. After the trip, you will need to complete a post-travel form that we will email to you after the site visit.

Attendance is by invitation only, with no outside observers or lobbyists. Funding is provided solely by grants from established foundations – no government, individual, foreign, corporate, or special interest money is accepted. The Network is supported by The Bill & Melinda Gates Foundation. The Aspen Education & Society Program maintains autonomy over invitations, materials, and the agenda for the retreat.

The retreat will begin at 12:00 PM on Tuesday, February 20, 2018, at the Inn at Perry Cabin and will conclude at 11:30 AM on Thursday, February 22, 2018. Please plan your travel accordingly in order to be present for the duration of the retreat. Dress is casual for all meetings.

The retreat promises to be productive and informative. We look forward to seeing you there.

Warm regards,

Ross Wiener

Danielle Gonzales

Marisa Goldstein

Doug Mesecar



Aspen Senior Congressional Education Staff Network Retreat

From Planning to Implementation: ESSA's Initial Impact in the Field

Inn at Perry Cabin 308 Watkins Lane St. Michaels, MD 21663 P: 410-745-2200

February 20-22, 2018

AGENDA

Retreat Goals:

- Understand how states are creating and implementing their Every Student Succeeds Act (ESSA) plans, how they will monitor implementation at different levels of the system, and what factors drive decision making.
- Understand states' and districts' theories of action around their approach to school improvement and support for teachers and leaders, including any connection to the Higher Education Act (HEA).
 Engage in active learning and build working relationships with education leaders from the field, as well as with colleagues from different parties and chambers.
- Explore potential roles for Congress and the U.S. Department of Education (ED) in monitoring and guidance around ESSA implementation.

Tuesday, February 20, 2018

All Meeting Sessions in the Commodore Room

Arrival and Check-In	
Lunch	Fireside section of the Stars Restaurant
Welcome, Overview, and Retreat Objectives	
To guide the retreat's discussion, Congressional staffe by sharing their top learning objectives for the conveni	ers and faculty members will begining.
Session I: Themes and Trends in Approved State I	<u>Plans</u>
Chad Aldeman, Principal, Bellwether Education Partr MaryEllen Elia, Commissioner, New York State Depa Erika Landl, Senior Associate, National Center for the Assessment	irtment of Education
Guiding Questions:	
What themes have emerged in approved state accountability system design, school identifications subgroups, report cards, assessment)? How are state plans surfacing issues of equity	tion, inclusion of student
	Lunch Welcome, Overview, and Retreat Objectives To guide the retreat's discussion, Congressional staffe by sharing their top learning objectives for the convening Session I: Themes and Trends in Approved State II Chad Aldeman, Principal, Bellwether Education Partre MaryEllen Elia, Commissioner, New York State Departmental Landl, Senior Associate, National Center for the Assessment Guiding Questions: What themes have emerged in approved state accountability system design, school identificate subgroups, report cards, assessment)?

requirements related to equity?

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What lessons have states learned from the second round of peer review?

3:15 - 3:45 PM

Break and individual reflection

3:45 - 5:00 PM

Session II: Supporting School Improvement

Angela Minnici, Senior Director of State Strategy, Technical Assistance, and Policy, WestEd

Seth Rau, Director of Legislative and Strategic Partnerships, San Antonio Independent School District

Eric Thomas, Chief Turnaround Officer, Georgia Department of Education

Guiding Questions:

· How are states and districts preparing for the initial identification of CSI and TSI schools in 2018-19 (i.e., data collection/reporting, allowing for a planning year or requiring immediate action)?

How are states and districts communicating accountability decisions, school ratings, and school improvement strategies to internal stakeholders (schools, principals, teachers) and external stakeholders (the public, local communities, support organizations)?

How are states and districts thinking about ESSA's evidence-based provisions?

How might states and districts use school improvement funds and other resources?

5:00 - 5:20 PM

Taking stock: Staff reflections and feedback to guide remaining discussions

6:30 PM

Networking Reception with Expert Faculty

Miles Room

Staffers will have the opportunity to network with participants during the reception.

7:00 - 8:30 PM

Working Dinner with Discussion of Earlier Sessions Fireside section of the Stars Restaurant

Wednesday, February 21, 2018

All Meeting Sessions in the Commodore Room

7:30 - 8:30 AM

Breakfast

Fireside section of the Stars Restaurant

8:30 - 10:45 AM

Session III: Deep Dive - Exploring States' Approaches to School Improvement

Staffers and faculty members will work in small groups to analyze selected accountability sections from a few state plans and consider the strengths and weaknesses of how these states are approaching school improvement. We will also have an opportunity to discuss the utility of external state plan reviews, what they signal to the field, and how they inform the conversation about ESSA.

10:45 - 11:00 AM

Break

11:00 AM - 12:00 PM Session IV: Assessment: Continuities, Innovations, Challenges

MaryEllen Elia, Commissioner, New York State Department of Education Lou Fabrizio, Education Consultant (Retired, North Carolina Department of Public Instruction)

Erika Landl, Senior Associate, National Center for the Improvement of Educational Assessment

Guiding Questions:

- How are states taking advantage of ESSA to revamp their assessment systems
 (i.e., by reducing testing, replacing old assessments and/or incorporating new
 assessments, using assessment approaches like computer adaptive testing,
 etc.)?
- Are states using the testing flexibilities in the law to make their assessment systems more responsive, targeted, and instructionally-relevant? Why or why not?
- How are districts evaluating or changing their local assessment systems/practices as a result of their state ESSA plans or other factors?

12:00 - 1:00 PM

Lunch

Fireside section of the Stars Restaurant

1:00 - 2:45 PM

Session V: Elevating Teachers and Leaders in ESSA

Chad Aldeman, Principal, Bellwether Education Partners
Angela Minnici, Senior Director of State Strategy, Technical Assistance, and Policy,
WestEd

Randy Poe, Superintendent, Boone County Schools

Guiding Questions:

How are states and districts approaching teacher and leader development under ESSA? What evidence are they considering?

- How are states and districts innovating around more effective forms of professional development for teachers and leaders?
- How have states addressed equitable distribution of teachers in their state plans?
 How are they monitoring and supporting equitable access to effective educators?
- How are states and districts considering using Title II funds for additional activities, such as improving teacher preparation, developing and improving teacher evaluation systems, improving alternative certification pathways, and developing teacher leadership opportunities?
- How is this work being integrated into existing state and local initiatives on educator effectiveness, and where is it siloed?
 What are potential implications of HEA (especially Title II of HEA) on the implementation of ESSA Title II?

2:45 - 3:00 PM

Break

3:00 - 4:45 PM

Session VI: Federal and State Monitoring of Implementation

MaryEllen Elia, Commissioner, New York State Department of Education Lou Fabrizio, Education Consultant (Retired, North Carolina Department of Public Instruction)

Eric Thomas, Chief Turnaround Officer, Georgia Department of Education

Guiding Questions:

• Now that most state plans have been approved, what are possible ways the U.S. Department of Education will monitor and support implementation going forward? What does this suggest for the role of Congress?

How are states considering their monitoring and oversight role over districts and schools, particularly around school improvement? What capacity and resources do they need to best oversee and support districts and schools?

How are these approaches informed by previous successes and challenges?

4:45 - 5:10 PM

Taking stock: Staff reflections and feedback to guide remaining discussions



Morning Room Networking Reception with Expert Faculty 6:15 PM Staffers will have the opportunity to network with participants during the reception. Admiral Room Working Dinner with Discussion of Earlier Sessions 7:00 - 8:30 PM All Meeting Sessions in the Commodore Room

Thursday, February 22, 2018

Fireside section of the Stars Restaurant Breakfast 7:30 - 8:30 AM Staff reflections and feedback to guide remaining discussion 8:30 - 8:40 AMSession VII: Trends in District Implementation 8:40 - 10:15 AM Randy Poe, Superintendent, Boone County Schools

Seth Rau, Director of Legislative and Strategic Partnerships, San Antonio Independent School District

Eric Thomas, Chief Turnaround Officer, Georgia Department of Education

Guiding Questions:

How are districts preparing to implement approved state ESSA plans? How are districts approaching the development of local consolidated plans? What kind of guidance, if any, are states providing?

What are ways districts might respond to other components of ESSA, such as Title II, Title IV, and new provisions around English learners? How is this being integrated with existing district initiatives (e.g., residencies, recruitment, etc.)? How are districts collaborating with each other and/or through regional service centers around ESSA implementation?

How well do districts understand their new role in monitoring and supporting school improvement? How are states and districts planning to coordinate around identification, notification, and the use of evidence to determine improvement. strategies?

Break + Complete Retreat Evaluation 10:15 - 10:30 AM Final Observations from Expert Faculty 10:30 - 10:50 AM 10:50 - 11:20 AM

Taking Stock: Staff Reflections and Feedback to Guide Next Steps for the Network

11:20 - 11:30 AM Adjourn

11:30 AM - 12:30 PM Lunch available

Fireside section of the Stars Restaurant

Aspen Senior Congressional Education Staff Network Retreat From Planning to Implementation: ESSA's Initial Impact in the Field

Inn at Perry Cabin 308 Watkins Lane St. Michaels, MD 21663 Phone: (410) 745-2200

February 20-22, 2018

CONGRESSIONAL SENATE STAFF

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Appendix to Private Sponsor Travel Certification Form

Aspen Institute Senior Congressional Education Staff Network Retreat, February 20-22, 2018

Question 12. Briefly describe the role of each sponsor in organizing and conducting the trip (response continued) — The Aspen Institute is the sole sponsor of this conference and is solely responsible for the development and execution of the convening. The Bill & Melinda Gates Foundation provided grant funding to support the Aspen Institute Education & Society Program, including the Aspen Senior Congressional Education Staff Network. The Bill & Melinda Gates Foundation is <u>not</u> a sponsor of this trip.

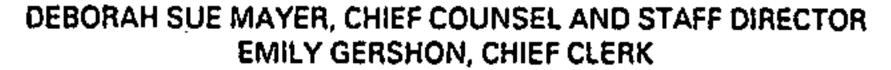
Questions 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to the mission (response continued) – The Aspen Institute Education and Society Program seeks to provide a neutral forum to aid education policymakers in their efforts to improve K-12 public education. The purpose of the trip is to conduct a non-partisan educational retreat that encourages off-the-record, candid exchanges of ideas to support staffers' learning.

Question 15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips) (response continued) — The Aspen Institute organizes numerous educational activities, including educational briefings, roundtables, forums and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general public. The Aspen Institute Education and Society Program works with federal, state and local education leaders to improve K-12 student achievement, particularly for underserved students.

TELEPHONE: (202) 224-2981 FACSIMILE: (202) 224-7416 TDD: (202) 228-3752

CHRISTOPHER A. COONS, DELAWARE, VICE CHAIRMAN

PAT ROBERTS, KANSAS JAMES E. RISCH, IDAHO BRIAN SCHATZ, HAWAII JEANNE SHAHEEN, NEW HAMPSHIRE





Anited States Senate

SELECT COMMITTEE ON ETHICS

February 15, 2018

Jake Cornett
Committee on Health, Education, Labor, and Pensions
United States Senate
Washington, DC 20510

Dear Mr. Cornett:

This responds to your recent correspondence concerning an invitation you received to travel to From Planning to Implementation: ESSA's Initial Impact in the Field in St. Michaels, Maryland, on February 20-22, 2018, sponsored by the Aspen Institute. The Aspen Institute certified to the Select Committee on Ethics (the Committee) that it will pay the necessary expenses¹ related to the travel and that it is neither a lobbyist, nor lobbying firm, nor an agent of a foreign principal, and it is not otherwise acting as a representative or agent of a foreign government. The Aspen Institute has also certified that it does not retain or employ a registered lobbyist or agent of a foreign principal and that no registered lobbyist will accompany you at any point throughout your trip.²

Based on information and materials available to the Committee, and assuming the actual travel and travel-related expenses conform to the information and materials you provided, it appears that the proposed payment or reimbursement of necessary expenses for this trip may be accepted under relevant Senate Rules and the Committee's Regulations and Guidelines for Privately-Sponsored Travel, so long as at the time of the payment or reimbursement, the Aspen Institute is neither a registered lobbyist nor lobbying firm under the Lobbying Disclosure Act of 1995, nor an agent of a foreign principal under the Foreign Agents Registration Act (and is not otherwise acting as a representative or agent of a foreign government), and provided the travel and all required documents are disclosed to the Secretary of the Senate in accordance with the provisions of Senate Rules 34 and 35.

Under Senate Rule 35, Senate staff must receive advance authorization signed by the Member or officer under whose direct supervision the individual works in order to accept payment or reimbursement for necessary expenses related to fact-finding travel. Further, such authorization and expenses must be disclosed to the Secretary of the Senate by filing the completed *Employee Pre-Travel Authorization* and the *Employee Post-Travel Disclosure of*

¹ The term "necessary expenses" has a specific definition. See Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel – Glossary of Terms at 8.

² The term "any point throughout your trip" has a specific definition. See id. at 2.



Travel Expenses (Form RE-1 and Form RE-2), along with a copy of the Private Sponsor Travel Certification Form, and all relevant attachments (e.g., the private sponsor's invitation and itinerary) within 30 days of the conclusion of Privately-Sponsored Travel.

Finally, Senate Rule 34 requires a reporting individual,³ on his or her Financial Disclosure Report, to make an annual disclosure of the receipt of payments or reimbursements under Senate Rule 35 from a private sponsor for officially-related travel expenses where, in the aggregate, travel expenses exceed \$390 from that sponsor during a calendar year. However, if a Member, officer, or employee properly reports the receipt of necessary expenses for such travel to the Secretary of the Senate within 30 days of the travel, as discussed above, the travel expenses need not be disclosed a second time on their Financial Disclosure Report.

I hope you find this information helpful. If you have any additional questions, please do not hesitate to contact the Committee.

Sincerely,

Deborah Sue Mayer

Chief Counsel and Staff Director

Debonah sur Mary

Enclosure: Travel Checklist

³ A reporting individual is someone whose salary equals or exceeds 120% of the basic rate of pay for GS-15 (\$126,148 for CY 2018) or is a political fund designee and is required to file Financial Disclosure Reports.

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	Date/Time Stamp:
EMPLOYEE PRE-TRAVE	LAUTHORIZATION
Pre-Travel Filing Instructions: Complete	and submit this form at least 30 days
prior to the travel departure date to the Sel	ect Committee on Ethics in SH-220.
Incomplete and late travel submissions will	l not be considered or approved. This
form must be typed and is available as a fil	lable PDF on the Committee's website
at ethics.senate.gov. Retain a copy of your	entire pre-travel submission for your
required post-travel disclosure.	Jake Cornett
Name of Traveler:	
Employing Office/Committee:	Senate HELP Committee
The Aspen I	nstitute In. (Education and Society Program)
Private Sponsor(s) (list all): February 20-22, 2018	
Travel date(s):	
	for any reason you must notify the Committee.
St. Michaels, MD Destination(s):	
Explain how this trip is specifically connec	eted to the traveler's official or representational duties:
implementation of the Eveny Student Succee	Program will convene a bipartisan group of education policy Senate staff to discuss the discussion that discuss the discuss the discuss the discussion that discuss the discuss the discuss the discussion that discuss the discussion the discussion that discuss the discuss the discuss the discussion that discuss the discussion that discuss the discuss tha
	· N1/A
Name of accompanying family member (i	f any):
Relationship to Employee: Spouse	Child
I certify that the information contained in	this form is true, complete and correct to the best of my knowledge:
(Date)	(Signature of Employee)
TO DE COMDI ETED BY SUPERVISING S	ENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Ar
Secretary for the Majority, Secretary for the M	1inority, and Chaplain):
Senator Murray	Jake Cornett hereby authorize
I,(Print Senator's/Officer's Name)	
an employee under my direct supervision.	to accept payment or reimbursement for necessary transportation, lodging, as
related expenses for travel to the event de	scribed above. I have determined that this travel is in connection with his or older, and will not create the appearance that he or she is using public office it
·	Older, and will not create the appearance that he of the is doing passes of the
private gain.	
	e of the employee's spouse or child is appropriate to assist in th

(Revised 10/19/15)

(Date)

of the Senate. (signify "yes" by checking box)

(Signature of Supervising Senator/Officer)

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee MUST also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

•	sor(s) of the trip (please list all sponsors): Aspen Institute Inc. (Education and Society Program)
Desc	ription of the trip: Aspen Institute Education and Society program sponsored convening for senior
	cation staffers on the Implementation of the Every Student Succeeds Act (ESSA) and next steps.
Date	s of travel: February 20-22, 2018
	e of travel: St. Michaels, MD
	e and title of Senate invitees: Please see attached roster
	tify that the trip fits one of the following categories:
	(A) The sponsor(s) are not registered lobbyists or agents of a foreign principal <u>and</u> do not retain or employ registered lobbyists or agents of a foreign principal <u>and</u> no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee at any point throughout the trip. — OR —
	(B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (see question 9).
X	I certify that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
	-AND-
	I certify that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
I ce	rtify that:
	The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for de minimis lobbyist involvement. - AND -
X	The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (see question 9).

9.	USE ONLY IF YOU CHECKED QUESTION 6(B) I certify that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:
	(A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee on any segment of the trip. - OR -
	 □ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stay's) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee on any segment of the trip (see questions 6 and 10). - OR -
	(C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee at any point throughout the trip.
10.	USE ONLY IF YOU CHECKED QUESTION 9(B) If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:
11.	An itinerary for the trip is attached to this form. I certify that the attached itinerary is a detailed (hourby-hour), complete, and final itinerary for the trip. Briefly describe the role of each sponsor in organizing and conducting the trip:
	The Aspen Institute is the sole sponsor of this retreat and is solely responsible for the development and
	execution of the convening.
13.	Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission: The Aspen Institute is an educational and policy studies non-profit organization whose mission is to foster
	leadership based on enduring values and provide a non-partisan forum for the exchange of ideas.
	(see continued response)
14	Briefly describe each sponsor's prior history of sponsoring congressional trips: The Aspen Institute has a nearly forty year history of conducting non-partisan educational forums, which
	often include Members of Congress and staff. The Aspen Institute Education and Society program
	has been conducting convenings for Congressional education staff for eleven years.

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The Aspen Institute hol	lds numerous education	onal activities, includir	ng educational brief	ings, roundtables,
forums, and conference	es for a diverse range	of attendees including	g federal and state	policymakers,
business and organiza	tional leaders, membe	ers of the press and th	e general (see cor	ntinued response)
Total Expenses for Eac	h Participant:			
	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
Good Faith estimate	\$92.94(round trip mileage and tolls)	\$206.00 for two nights total	\$127.75	\$ 441.29 meeting room fees (includes meeting facilities, set up/take down, cleaning, meeting
Amounts				materials)
State whether a) the traparticipation or b) the	trip involves an even	hat is arranged or organized that is arranged or or	anized without regardent ganized specifically	rd to congressional y with regard to
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State whether a) the trip participation or b) the congressional particip b) The trip is organized their learning on implement their learning on implementation is closed experts brought in to the Name and location of the lo	trip involves an even ation: ed specifically with regeneration of the Even the location of the even to Washington, DC for support the retreat) to the support the retreat to the support the	ery Student Succeeds on that is arranged or or early Student Succeeds on the trip or easy staffer travel ar of fly into DCA, Dulles of og facility: Michaels, MD 21663	staff participation in Act. Act. or BWI and travel e	embers (external

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21.	Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:				
	Rooms are \$103.00 per day, which reflects the per diem limit				
	Meals \$36.75 per day 2/20/18, \$64.00 per day 2/21/18, \$31.00 per day 2/22/18 - which reflects the per				
	diem limit				
22.	Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:				
	Transportation is not provided; mileage will be reimbursed for participants' travel by personal car				
23.	I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).				
24.	List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:				
	None				
25.	I hereby certify that the information contained herein is true, complete and correct. (For trips involving more than one sponsor, you must include a completed signature page for each additional sponsor):				
	Signature of Travel Sponsor: Mit fem				
	Name and Title: Elliot Gerson, Executive Vice President, Policy & Public Programs				
	Name of Organization: The Aspen Institute				
	Address: 2300 N Street NW, Suite 700, Washington, DC 20037				
	Telephone Number: 202-736-5859 (Lisa Jones, Deputy General Counsel)				
	Fax Number: 202-467-0790				
	E-mail Address: lisa.jones@aspeninst.org				

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

SIGNATURE PAGE FOR ADDITIONAL SPONSOR •

(to be completed by each additional sponsor)

I hereby certify that the informat		f the certification form and an	. •
to	is true, complete, and corre	Dates of Travel (Month Day, Year) ct.	_ trip
Signature of Travel Sponsor:	•		
Name and Title:		·	
Name of Organization:	• 	•	
Address:			
Telephone Number:		<u> </u>	•
Fax Number:	- -	· · · · · · · · · · · · · · · · · · ·	
E-mail Address:		<u> </u>	

Instructions (Do not file the Instructions with OPR)

General Instructions

- The Senate Select Committee on Ethics ("Ethics Committee") has developed guidelines for evaluating privately-sponsored trips and for judging whether trip expenses are reasonable. Trip sponsors should consult the Senate Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel, including the Glossary of Terms, prior to filling out the Private Sponsor Travel Certification Form and contact the Ethics Committee at (202) 224-2981 with any additional questions. The Ethics Committee will make the final determination as to whether the expenses incurred during a privately-sponsored trip are reasonable.
- If there are multiple sponsors, they should jointly complete one Private Sponsor Travel Certification Form for the trip. Each travel sponsor should complete the signature block.
- When evaluating a trip proposal and judging the reasonableness of expenses, the Ethics Committee will consider the following factors:
 - a. the stated mission of the organization sponsoring the trip;
 - b. the organization's prior history of sponsoring congressional trips, if any;
 - c. other educational activities performed by the organization besides sponsoring congressional trips;
 - d. whether any trips previously sponsored by the organization led to an investigation by the Select Committee on Ethics;
 - e. whether the length of the trip and the itinerary is consistent with the official purpose of the trip;
 - f. whether there is an adequate connection between a trip and official duties;
 - g. the reasonableness of the total amount spent by a sponsor of the trip;
 - h. whether there is a direct and immediate relationship between a source of funding and an event;
 - i. the maximum per diem rates for official Federal Government travel published annually by the General Services Administration, the Department of State, and the Department of Defense;
 - j. whether travel to a location or event is arranged or organized without regard to congressional participation, or whether it is specifically organized for Congressional staff; and
 - k. any other factor deemed relevant by the Select Committee on Ethics.

Consult the Senate Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel, including the Glossary of Terms, for further discussion of these factors.

- Responses to each question should be brief, consistent with the requirement to provide all relevant information. Attach additional pages, as necessary.
- To allow sufficient time for the Ethics Committee to review requests for privately sponsored travel, the participating Senate Members, officers, and employees must submit the completed form to the Ethics Committee at least thirty (30) days before the date of the proposed trip.

Filling out the Private Sponsor Travel Certification Form (Question by Question Instructions)

- 1. Sponsor(s) of the trip (please list all sponsors). A sponsor of a trip is any person, organization, or other entity contributing funds or in-kind support for the trip. A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip. If Members, officers, and employees are participating in an event or fact-finding trip in connection with their duties, they may accept necessary travel expenses only from the event or trip sponsor.
- 2. Description of the trip. Provide a brief statement about the purpose of the trip.
- 3. Dates of travel: Provide the dates of departure and return.
- 4. Place of travel: Provide the destination(s) for the trip.
- 5. Name and titles of Senate invitees: Provide the name and title for each Senate Member, officer, or employee who is invited on the trip.
- 6. I certify that the trip fits one of the following categories: A Senate Member, officer, or employee may accept privately sponsored travel only from sponsor(s) of a trip that fits one of the categories listed. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standard.
- 7. Financing of the trip, earmarked funds and in-kind contributions: Senate Members, officers, and staff may not accept privately-sponsored travel funded by a registered lobbyist or foreign agent. Members, officers, and staff may not participate in privately-sponsored travel when the sponsors accept funds or in-kind contributions earmarked for this particular trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal. Earmarking includes any direction, agreement, or suggestion -- formal or informal -- to use donated funds, goods, services, or other in-kind contributions for a particular trip or purpose.
- 8. Lobbyist/agent of a foreign principal involvement: Senate invitees may not participate in trips planned, organized, arranged, or requested by a lobbyist or foreign agent in more than a de minimis way, which means negligible or inconsequential. It would be considered inconsequential for one or more lobbyists or foreign agents to serve on the board of an organization that is sponsoring travel, as long as the lobbyists or foreign agents are not involved in the trip. It is also permissible for a lobbyist to respond to a trip sponsor's request to identify Senate invitees with interest in a particular issue relevant to a planned trip. However, a lobbyist is not allowed to solicit or initiate communication with a trip sponsor, have control over which Senate employees are invited on a trip, extend or forward an invitation to a participant, determine the trip itinerary, or be mentioned in the invitation.

Example: A trip sponsor that is a § 501(c)(3) non-profit organization asks a lobbyist to recommend staffers who might be most interested in joining a trip to the U.S.-Mexican border. If a lobbyist knows a staffer who has a particular interest in the DEA's activities at the border, then providing that information (in light of the trip sponsor's request), in and of itself, would not exceed a de minimis level of participation, and would be permitted. However, it would not be permissible for the lobbyist to initiate contact with the trip sponsor to suggest that a particular Senate staffer be invited or forward an invitation to that staffer. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standards.

9. Lobbyist/agent of a foreign principal accompaniment standards: Senate Members, officers, and staff may not accept privately-sponsored travel from an entity that retains or employs one or more federally-registered lobbyists or foreign agents unless one of the listed scenarios applies. At any segment of the trip means lobbyists may not accompany the Senate invitee for parts of the travel to and from the event (not at the event itself or the location being visited). At any point throughout the trip means lobbyists may not accompany Senate invitees at any point to and from the event, at the event itself, or at the location being visited, other than in a de minimis way. This is a broader prohibition than the at any segment of a trip standard.

"De minimis" exception: Both lobbyist/agent of a foreign principal "accompaniment" prohibitions include a de minimis exemption. De minimis means negligible or inconsequential. The mere coincidental presence of a lobbyist or foreign agent at an event would likely be considered de minimis. But in making the final determination, the Ethics Committee will consider the totality of the circumstances, including the amount of time lobbyists or foreign agents are present at the event; the amount of direct contact they have with Senate invitees; and the amount of control a trip sponsor has over their presence or contact with Senate guests. For example, if the trip includes attendance at an event considered widely-attended under Rule 35(1)(c)(18), the trip sponsor is unlikely to know all attendees present. Thus, it is likely to be permissible for such widely-attended events to include both a Senate guest and a lobbyist. Similarly, an organization cannot possibly know all the other passengers taking the same flight or other common carrier to a given destination. Accordingly, the sponsor does not need to certify that it knows for certain that no lobbyist or foreign agent will be on such a common carrier.

- 10. If travel includes two overnight stays: The Ethics Committee may approve two overnight stays for trips sponsored by an entity that employs or retains one or more lobbyists or foreign agents under certain conditions. Consult Committee regulations for additional information.
- 11. An itinerary for the trip is attached to this form: The Ethics Committee will not review the trip request without a detailed (hour-by-hour), complete and final itinerary for the trip. As a general matter, the Ethics Committee advises that each travel day contain a minimum of 6 hours of officially-related activities for Senate invitees.
- 12. Briefly describe the role of each sponsor in organizing and conducting the trip: A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip.
- 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission: Provide a brief description of the stated mission of each sponsor and how it relates to the trip.
- 14. Briefly describe each sponsor's prior history of sponsoring congressional trips: Provide a brief discussion of the sponsor's history of sponsoring congressional travel. It is not necessary to list every trip.
- 15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips): Provide a brief description of the educational activities performed by each sponsor. It is not necessary to list every individual activity; the description may be by kind or category of educational activity involved.
- 16. Total expenses for each participant: Indicate whether the figures provided are actual amounts or good faith estimates by checking the appropriate box. All trip expenses should be included. Expenses other than those for transportation, lodging, and meals must be individually listed and specified. Attach additional pages as necessary.

- 17. Congressional participation: For events that are arranged without regard to congressional participation (for example, annual meetings, conferences, seminars, and symposiums of trade associations, professional societies, business associations, and other membership organizations), the Ethics Committee may, but is not required to, allow Senate Members, officers, and employees to accept lodging and meal expenses that are commensurate with what is customarily provided to non-congressional attendees in similar circumstances. For events specifically arranged around congressional participation, lodging, meal expenses and other expenses must be "reasonable" in accordance with Ethics Committee regulations.
- 18. Reason for selecting the location of the event or trip: The location of the trip must be related to its purpose. A brief but detailed description of the reason for the selection of the location must be provided.
- 19. Name and location of hotel or other lodging facility: Include the exact name and address of the hotel or other lodging facility.
- 20. Reasons for selecting hotel or other lodging facility: Provide an explanation of the sponsor's rationale for selecting the particular lodging, include information such as proximity to the airport or site to be visited.
- 21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participant compare to the maximum per diem rates for official Federal Government travel: Where feasible and available, trip expenses for lodging and meals should generally be comparable to the government per diem rates. The circumstances surrounding a particular trip may legitimately require lodging and meal expenses to exceed these rates. Consult the Ethics Committee regulations for additional information.
- 22. Describe the type and class of transportation being provided: While coach or business-class fare may be accepted, first-class fare for any mode of transportation may be permitted only under limited conditions and only with specific prior written approval by the Ethics Committee. Transportation on a private or charter aircraft is not permitted for privately-sponsored travel under any circumstances.
- 23. Expenses for recreational activity, alcohol, or entertainment: The only recreational or entertainment activities that will be approved by the Ethics Committee are those that are provided to all attendees and are an integral part of an event. Alcoholic beverages are not considered to be a reasonable expense.
- 24. List any entertainment that will be provided to, paid for or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event: Entertainment expenses that are not provided to all attendees and deemed an integral part of the event will not be approved by the Ethics Committee.
- 25. Certification: The trip sponsor must sign the form and certify that the information is true, complete, and correct. For trips with more than one sponsor, each additional sponsor must complete its own signature page and certify that the information contained in the form is true, complete, and correct.



Aspen Senior Congressional Education Staff Network Retreat

From Planning to Implementation: ESSA's Initial Impact in the Field

308 Watkins Lane St. Michaels, MD 21663 P: 410-745-2200

February 20-22, 2018

AGENDA

Retreat Goals:

12:00 PM

Understand how states are creating and implementing their Every Student Succeeds Act (ESSA) plans and how they will monitor implementation at different levels of the system.

Understand states' and districts' theories of action around their approach to school improvement and support for teachers and leaders.

Engage in active learning and build working relationships with education leaders from the field, as well as with colleagues from different parties and chambers.

Explore potential roles for Congress and the U.S. Department of Education (ED) in monitoring and guidance around ESSA implementation.

Tuesday, February 20, 2018

12:30 - 1:00 PM	Lunch
1:15 — 1:45 PM	Welcome, Overview, and Retreat Objectives
	Danielle Gonzales, Assistant Director for Policy, Aspen Institute Education & Society Program
	To guide the retreat's discussion, Congressional staffers and faculty members will begin by sharing their top two learning objectives for the convening.
1:45 - 3:15 PM	Session I: Themes and Trends in Approved State Plans
	Invited: Chad Aldeman (Bellwether Education Partners). MarvEllen Elia (New York State

Invited: Chad Aldeman (Bellwether Education Partners), MaryEllen Elia (New York State Education Department), Ryan Wise (Iowa Department of Education)

Guiding Questions:

Arrival and Check-In

- What themes have emerged in approved state plans (i.e., indicator selection, accountability system design, school identification, inclusion of student subgroups, report cards, assessment)?
- How are state plans surfacing issues of equity and meeting the law's requirements related to equity?
 What lessons have states learned from the second round of peer review?



3:15 - 3:45 PM

Break and individual reflection

3:45 - 5:00 PM

Session II: Supporting School Improvement

Invited: Lou Fabrizio (North Carolina Department of Public Instruction), Robert Runcie (Broward County Public Schools)

Guiding Questions:

- How are states preparing for the initial identification of CSI and TSI schools in 2018-19 (i.e., data collection/reporting, allowing for a planning year or requiring immediate action)?
- What internal and external communications are needed to message this work to stakeholders?

What evidence-based interventions are states and districts considering? How might states and districts use school improvement funds and other resources?

5:00 - 5:20 PM

Taking stock: Staff reflections and feedback to guide remaining discussions

6:30 PM

Networking Reception with Expert Faculty

Staffers will have the opportunity to network with participants during the reception.

Faculty Participant Attendees (invited): Chad Aldeman, MaryEllen Elia, Lou Fabrizio, Robert Pianta, Christine Johns, Robert Runcie, Michael Watson, Ryan Wise

7:00 - 8:30 PM

Working Dinner with Discussion of Earlier Sessions

Wednesday, February 21, 2018

7:30 - 8:30 AM

Breakfast

8:30 - 10:15 AM

Session III: Deep Dive - Exploring States' Theories of Action on School Improvement

Staffers and faculty members will work in small groups to analyze selected states' theories of action on school improvement and consider implications for capacity, monitoring, and ongoing supports.

10:15 - 10:35 AM

Break

10:35 AM - 12:00 PM Session IV: Ensuring Equitable Access to Effective Educators

Invited: Chad Aldeman (Bellwether Education Partners), Robert Pianta (University of Virginia), Robert Runcie (Broward County Public Schools)

Guiding Questions:

 How are states monitoring and supporting equitable access to effective educators? How have they address equitable distribution of teachers in their state plans?

What lessons can be learned from previous development and implementation of state teacher equity plans?



12:00 - 1:00 PM

Lunch

1:00 - 2:45 PM

Session V: Elevating Teachers and Leaders in ESSA

teacher leadership opportunities?

Invited: Robert Pianta (University of Virginia), Christine Johns (Utica Community Schools), Ryan Wise (Iowa Department of Education)

Guiding Questions:

- How are states and districts approaching teacher and leader development under ESSA? What evidence are they considering?
- How is this work being integrated into existing state and local initiatives on educator effectiveness, and where is it siloed?
 Are states innovating around more effective forms of professional development for teachers and leaders?
 Are states and districts considering using Title II funds for additional activities, such as improving teacher preparation, developing and improving teacher evaluation systems, improving alternative certification pathways, and developing
- For states taking the optional Title II set aside for principals, what activities and supports are they planning to offer? How did they choose to take the set aside, and how is this being messaged to stakeholders?
- What implications, if any, does the HEA (especially Title II of HEA) have for the implementation of ESSA Title II?

2:45 - 3:00 PM

Break

3:00 - 4:45 PM

Session VI: Federal and State Monitoring of Implementation

Invited: Chad Aldeman (Bellwether Education Partners), MaryEllen Elia, (New York State Education Department), Lou Fabrizio (North Carolina Department of Public Instruction)

Guiding Questions:

- Now that state plans have been approved, what are possible ways the U.S. Department of Education will monitor and support implementation going forward? What does this suggest for the role of Congress? How are states considering their monitoring and oversight role of districts and schools, particularly around school improvement? What capacity and resources do they need to best oversee and support districts and schools?
- How are these approaches informed by previous successes and challenges?

4:45 – 5:10 PM

6:15 PM

Taking stock: Staff reflections and feedback to guide remaining discussions Networking Reception with Expert Faculty

Staffers will have the opportunity to network with participants during the reception.

Faculty Participant Attendees (invited): Chad Aldeman, MaryEllen Elia, Lou Fabrizio, Robert Pianta, Christine Johns, Robert Runcie, Michael Watson, Ryan Wise

7:00 — 8:30 PM

Working Dinner with Discussion of Earlier Sessions



Thursday, February 22, 2018

7:30 — 8:30 AM	Breakfast
8:30 - 8:40 AM	Staff reflections and feedback to guide remaining discussion
8:40 - 10:15 AM	Session VII: Trends in District Implementation
	Invited: Christine Johns (Utica Community Schools), Robert Runcie (Broward County Public Schools)
	Guiding Questions:
	What kind of guidance, if any, are states providing to districts for the development of local plans? How are districts approaching the development of local consolidated plans? What are ways districts might leverage other components of ESSA, such as Title IV? How is this being integrated with existing district initiatives?
10:15 – 10:30 AM	Break + Complete Retreat Evaluation
10:30 - 10:50 AM	Final Observations from Expert Faculty
10:50 - 11:20 AM	Taking Stock: Staff Reflections and Feedback to Guide Next Steps for the Network
11:20 – 11:30 AM	Adjourn



Please provide names and titles of ALL Senate Members and employees you are inviting.

The Senate employees invited (listed below) are senior education staff responsible for education issues; they are invited specifically because of their education portfolio to meet with leaders and educational experts from states, districts, research, and support organizations to engage in non-partisan dialogue on the impact of federal policy on different levels of the education system.

Amanda Beaumont

Minority Senior Education Counsel Senate Committee on Health, Education, Labor, and Pensions

Jake Cornett

Minority Senior Advisor Senate Committee on Health, Education, Labor, and Pensions

Laura Friedel

Majority Clerk

Senate Appropriations Subcommittee on Labor, Health and Human Services, and Education

Mike Gentile

Majority Professional Staff Member

Senate Appropriations Subcommittee on Labor, Health and Human Services, and Education

Jenn Hatfield

Majority Education Research Assistant

Senate Committee on Health, Education, Labor, and Pensions

Jordan Hynes

Majority Professional Staff Member

Senate Committee on Health, Education, Labor, and Pensions

Alex Keenan

Minority Clerk

Senate Appropriations Subcommittee on Labor, Health and Human Services, and Education

Allie Kimmel

Minority Education Policy Advisor

Senate Committee on Health, Education, Labor, and Pensions

Mark Laisch

Minority Professional Staff Member

Senate Appropriations Subcommittee on Labor, Health and Human Services, and Education

Kara Marchione

Minority Education Policy Director

Senate Committee on Health, Education, Labor, and Pensions

Bob Moran

Majority Deputy Education Policy Director

Senate Committee on Health, Education, Labor, and Pensions

Matthew Stern

Majority Professional Staff

Senate Committee on Health, Education, Labor, and Pensions

Appendix to Private Sponsor Travel Certification Form

Aspen Institute Senior Congressional Education Staff Network Retreat, February 20-22, 2018

Question 12. Briefly describe the role of each sponsor in organizing and conducting the trip (response continued) — The Aspen Institute is the sole sponsor of this conference and is solely responsible for the development and execution of the convening. The Bill & Melinda Gates Foundation provided grant funding to support the Aspen Institute Education & Society Program, including the Aspen Senior Congressional Education Staff Network. The Bill & Melinda Gates Foundation is <u>not</u> a sponsor of this trip.

Questions 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to the mission (response continued) — The Aspen Institute Education and Society Program seeks to provide a neutral forum to aid education policymakers in their efforts to improve K-12 public education. The purpose of the trip is to conduct a non-partisan educational retreat that encourages off-the-record, candid exchanges of ideas to support staffers' learning.

Question 15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips) (response continued) — The Aspen Institute organizes numerous educational activities, including educational briefings, roundtables, forums and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general public. The Aspen Institute Education and Society Program works with federal, state and local education leaders to improve K-12 student achievement, particularly for underserved students.

Contreras, Manuel (HELP Committee)

From: Beaumont, Amanda (HELP Committee)

Sent: Thursday, January 18, 2018 3:27 PM.

Contreras, Manuel (HELP Committee)

Subject: FW: DUE JANUARY 22: Ethics Paperwork for February 20-22, 2018 Retreat

Appendix to Private Sponsor Travel Certification Form 1.10.pdf; Aspen Senior Congressional Education Staff Network Retreat Agenda - February 2018.pdf; Attachment - list of invited Senate staffers.pdf; Form RE-1 Employee Pre-Travel Authorization - blank.pdf; Private Sponsor Travel Certification Form w Grantmaking

Spon 1.8 EG 1.10.18.pdf; Senate invitation.pdf

Here are the forms. Thank you so much for taking care of

From: Lefebvre, Joan [mailto:Joan.Lefebvre@aspeninstitute.org]

Sent: Thursday, January 11, 2018 11:08 AM

To: Beaumont, Amanda (HELP Committee) <Amanda_Beaumont@help.senate.gov>; Cornett, Jake (HELP Committee) <Jake_Cornett@help.senate.gov>; Hatfield, Jenn (HELP Committee) <Jenn_Hatfield@help.senate.gov>; Hynes, Jordan

(HELP Committee) < Jordan Hynes@help.senate.gov>; Kimmel, Allie (HELP Committee)

<allie_Kimmel@help.senate.gov>; Marchione, Kara (HELP Committee) < Kara_Marchione@help.senate.gov>; Moran,

Robert (HELP Committee) < Robert_Moran@help.senate.gov>; Stern, Matthew (HELP Committee)

<Matthew_Stern@help.senate.gov>

Cc: Goldstein, Marisa < Marisa. Goldstein@aspeninstitute.org >

Subject: DUE JANUARY 22: Ethics Paperwork for February 20-22, 2018 Retreat

Importance: High

To:

Attachments:

Dear Senate Staffers:

Enclosed are the materials you will need to get clearance for the retreat at the Inn at Perry Cabin in St. Michaels, MD. The retreat will take place on February 20-22, 2018 and will explore planning and implementation of the Every Student Succeeds Act. The attachments include:

- A formal invitation
- A detailed agenda listing discussion sessions
- A completed Private Sponsor Travel Certification Form with appendix
- A list of invited staffers
- Employee Pre-Travel Authorization Form (blank)

You will need to complete the Employee Pre-Travel Authorization Form and submit it with the enclosed agenda, participant list, and Private Sponsor Travel Certification Form to 220 Hart by COB Monday, January 22, 2018.

After the trip you will also need to complete a post-travel form that we will email you after the retreat.

Please let me know by replying to this email when you have submitted Ethics forms so that I can add you to the official participant list, or if you are unable to attend. Thank you in advance and please do not hesitate to contact me with any questions.

Best regards, Joan

Joan Lefebvre
Senior Program Manager
The Aspen Institute
2300 N Street NW, Suite 700
Washington, DC 20037
(978) 855-1699
joan.lefebvre@aspeninst.org
www.aspeninstitute.org/education



January 8, 2018

Dear Senate Colleague,

We are writing to invite you to participate in an upcoming retreat – "From Planning to Implementation" – for the Aspen Senior Congressional Education Staff Network from 12:00 PM Tuesday, February 20, 2018 to 1:00 PM Thursday, February 22, 2018 at the Inn at Perry Cabin, located 79 miles from Washington, DC.

At this convening, staffers will hear from state and district leaders on early implementation lessons of the Every Student Succeeds Act. Staffers will understand how states are creating and implementing their ESSA plans, including how they will monitor implementation at different levels of the system. The convening will also focus on school improvement strategies, support for teachers and leaders, and potential roles for Congress and the U.S. Department of Education in monitoring and guidance around ESSA implementation. Finally, the retreat will provide an opportunity for staffers to engage in their own learning and build working relationships with colleagues from different parties and chambers and with leading experts in the field.

We fully comply with the rules that have been enacted by the Senate regarding privately-funded travel. Enclosed you will find all the forms necessary for Ethics rules compliance:

A detailed agenda listing discussion sessions

A completed Private Sponsor Travel Certification Form

A list of invited staffers

A blank Employee Pre-Travel Authorization form

You must complete the Traveler Form and submit it with the enclosed agenda, list of invited staffers, and Primary Trip Sponsor Form directly to the Senate Ethics Committee (220 Hart) no later than Monday, January 22, 2018. After receiving the completed travel package, the Ethics Committee will review and issue an approval to you or your sponsoring Member. After the trip, you will need to complete a post-travel form that we will email to you after the site visit.

Attendance is by invitation only, with no outside observers or lobbyists. Funding is provided solely by grants from established foundations — no government, individual, foreign, corporate, or special interest money is accepted. The Network is supported by The Bill & Melinda Gates Foundation. The Aspen Education & Society Program maintains autonomy over invitations, materials, and the agenda for the retreat.

The retreat will begin at 12:00 PM on Tuesday, February 20, 2018, at the Inn at Perry Cabin and will conclude at 11:30 AM on Thursday, February 22, 2018. Please plan your travel accordingly in order to be present for the duration of the retreat. Dress is casual for all meetings.

The retreat promises to be productive and informative. We look forward to seeing you there.

Warm regards,

Ross Wiener

Danielle Gonzales

Marisa Goldstein

Doug Mesecar